

Substitute for form 1449A-PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT***(use as many sheets as necessary)*

Sheet

1 of 11

Application Number

10/781,898

Filing Date

February 20, 2004

First Named Inventor

Srinivas BOLLAPRAGADA et al.

Art Unit

4172

Examiner Name

Eric Tak Wai WONG

Attorney Docket Number

52493.000362

**U.S. PATENT DOCUMENTS**

*Examiner Initials	Cite No.	DOCUMENT NUMBER Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US- 5126936	06-30-1992	Champion et al.	
		US- 5148365	09-15-1992	Dembo	
		US- 5195026	03-16-1993	Nonaka	
		US- 5202827	04-13-1993	Sober	
		US- 5210687	05-11-1993	Wolfberg	
		US- 5347446	09-19-1994	Iino	
		US- 5351184	09-27-1994	Lu	
		US- 5550734	08-27-1996	Tarter	
		US- 5587897	12-24-1996	Iida	
		US- 5590037	12-31-1996	Ryan	
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		US- 5682465	10-28-1997	Kil	
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		US- 5918217	06-29-1999	Maggioncalda	
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		US- 5930762	07-27-1999	Masch	
		US- 5991744	11-23-1999	DiCresce	
		US- 5999917	12-07-1999	Facciani	
		US- 6003018	12-14-1999	Michaud	
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		US- 6078904	06-20-2000	Rebane	
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		US- 6360191	03-19-2002	Koza et al.	

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		US- 6373485	04-16-2002	Sowizral	
		US- 6393409	05-21-2002	Young et al.	
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		US- 20020059294	05-16-2002	Bottarelli	
		US- 20020082872	06-27-2002	Aoki	
		US- 20020091605	07-11-2002	Labe, Jr.	
		US- 20020091613	07-11-2002	Kendall	
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		US- 20020123951	09-05-2002	Olsen et al.	
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		US- 20040078244	04-22-2004	Katcher	
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		US- 20040199448	10-07-2004	Chalermkraivuth	
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		US- 20040243499	12-02-2004	Bateson	
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		US- 7047167	05-16-2006	Yamaguchi	
		US- 20020099929	07-25-2002	Jin	

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*Examiner Initial	Cite No.	FOREIGN PATENT DOCUMENT		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	TRANSLATION	
		Country Code Number-Kind Code (if known)					YES	NO
		JP	7-85110 (Abstract)	03-031-1995	Nobuaki		<input type="checkbox"/>	<input type="checkbox"/>
		JP	63-279301 (Abstract)	11-16-1988	Masahiro et al.		<input type="checkbox"/>	<input type="checkbox"/>
		EP	0356191 A2 (Abstract)	02-28-1990	Freedman et al.		<input type="checkbox"/>	<input type="checkbox"/>
		EP	0505087 A2 (Abstract)	09-23-1992	Kumahora et al.		<input type="checkbox"/>	<input type="checkbox"/>
		JP	6-95707 (Abstract)	04-08-1994	Minoru et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	95/25295 (Abstract)	09-21-1995	Krist et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	96/18162 (Abstract)	06-13-1996	Atkins		<input type="checkbox"/>	<input type="checkbox"/>
		WO	98/13776 (Abstract)	04-02-1998	Masch		<input type="checkbox"/>	<input type="checkbox"/>
		WO	99/23592 (Abstract)	05-14-1999	Young et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	99/39290 (Abstract)	08-05-1999	Pellegrinelli et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	99/49399 (Abstract)	09-30-1999	Lang		<input type="checkbox"/>	<input type="checkbox"/>
		JP	2001-76057 (Abstract)	03-23-2001	Norio		<input type="checkbox"/>	<input type="checkbox"/>
		WO	01/31481 A2 (Abstract)	05-03-2001	Bullard et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	01/39005 A2 (Abstract)	05-31-2001	Dembo et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	01/55890 A2 (Abstract)	08-02-2001	Herschap et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	01/55939 A2 (Abstract)	08-02-2001	Caruana et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	01/77872 A2 (Abstract)	10-18-2001	Plumer et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	01/84355 A2 (Abstract)	11-08-2001	Narang et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	01/93153 A1 (Abstract)	12-06-2001	Seidel et al.		<input type="checkbox"/>	<input type="checkbox"/>
		WO	02/075650 (Abstract)	09-26-2002	Yao et al.		<input type="checkbox"/>	<input type="checkbox"/>

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### OTHER DOCUMENTS - NON-PATENT LITERATURE DOCUMENTS

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			YES	NO
		JPMorgan/Reuters RiskMetrics™ - Technical Documents Fourth Edition, Dec. 17, 1996	<input type="checkbox"/>	<input type="checkbox"/>
		Jorge Mina & Andrew Ulmer Delta-Gamma Four Ways August 31, 1999	<input type="checkbox"/>	<input type="checkbox"/>
		Stefan Pichler & Karl Selitsch A Comparison of Analytical VaR Methodologies for Portfolios That Include Options December 1999	<input type="checkbox"/>	<input type="checkbox"/>
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		Eklund, Neil Holger White, Multiobjective visible spectrum optimization: A genetic algorithm approach, Rensselaer Polytechnic Institute, Volume 6311B of Dissertations Abstracts International, 2002	<input type="checkbox"/>	<input type="checkbox"/>
		Abbass, H.A., Sarker, R Newton, C, PDE:a Pareto-frontier differential evolution approach for multi-ojective optimization problems, Proceedings of the 2001 Congress on Evolutionary Computation, volume 2, IEEE, May 27-30, 2001	<input type="checkbox"/>	<input type="checkbox"/>
		Ignizio, James, An Algorithm for Solving the Linear Goal Programming Problem by Solving Its Dual, The Journal of the Operational research Society, Vol. 36, No. 6 (June 1985) pp 507-515	<input type="checkbox"/>	<input type="checkbox"/>
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		Bellmore, M, Generalized Penalty function Concepts in Mathmatical Optimization, Operations research, Vol. 18, No. 2 (March-April 1970), pp. 229-252	<input type="checkbox"/>	<input type="checkbox"/>
		Iwamura, K., Chances constrained integer Programming Models for Capital Budgeting in Fizzy Environments, The Journal of the Operational Research Society, Vol. 49, No. 8 (August 1998), pp. 854-860	<input type="checkbox"/>	<input type="checkbox"/>
		Albanese, C., et al. Dimension Reduction in the computation of Value-at-risk, February 28, 2002	<input type="checkbox"/>	<input type="checkbox"/>

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			YES	NO
		Baglioni, S., et al., An Evolutionary Approach to Multiperiod Asset Allocation, Genetic Programming, (EuroGP'2000), vol. 1802, pp 225--236, Springer-Verlag, Edinburgh, 2000	<input type="checkbox"/>	<input type="checkbox"/>
		Loraschi, A., et al., An Evolutionary Algorithm For Portfolio Selection In A Downside Risk Framework, European Journal of Finance, 1994	<input type="checkbox"/>	<input type="checkbox"/>
		Kalvelagen, E., Solving Multi-Objective Models With GAMS, citeseer.nj.nec.com/article/kalvelagen02solving.html, September 20, 2002	<input type="checkbox"/>	<input type="checkbox"/>
		Freedman, Roy S., A Comparison of Stochastic Search Heuristics for Portfolio Optimization, Second International Conference on Artificial Intelligence Applications on Wall Street, Software Engineering Press, April, 1993, pp. 149-151	<input type="checkbox"/>	<input type="checkbox"/>
		Streichert, F., Introduction to Evolutionary Algorithms, University of Tuebingen, Presented at the Frankfurt MathFinance Workshop, April 2, 2002	<input type="checkbox"/>	<input type="checkbox"/>
		Korczak, et al., Evolutionary Approach to Portfolio Optimization, University of Wroclaw, Institute of Computer Science, 2001	<input type="checkbox"/>	<input type="checkbox"/>
		Eklund, N., Multi-objective optimization of spectra using genetic algorithms, Dept. of Decision Sciences and Engineering Systems, RPI, 2001	<input type="checkbox"/>	<input type="checkbox"/>
		Bodie, Z., et al., Investments, Fourth edition, Irwin/McGraw Hill, 1999	<input type="checkbox"/>	<input type="checkbox"/>
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			YES	NO
		Coello, C., et al. Evolutionary Algorithm MOP Approaches, Evolutionary Algorithms for Solving Multi-Objective Problems, pp 59-99, Kluwer Academic, 2002	<input type="checkbox"/>	<input type="checkbox"/>
		Goldberg, D., Genetic Algorithms in Search, Optimization, and Machine Learning, Addison-Wesley, Massachusetts, 1989	<input type="checkbox"/>	<input type="checkbox"/>
		Dempster, A., Upper and lower probabilities induced by a multivalued mapping, Annals of Mathematical Statistics, 38: 325-339, 1976	<input type="checkbox"/>	<input type="checkbox"/>
		Shafer, G., A Mathematical Theory of Evidence, Princeton University Press, Princeton, New Jersey, 1967	<input type="checkbox"/>	<input type="checkbox"/>
		Schweizer B., et al., Associative Functions and Abstract Semi-Groups, Publicationes Mathematicae Debrecen, 10:69-81, 1963	<input type="checkbox"/>	<input type="checkbox"/>
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		Tarascio, V., Pareto's Methodological Approach to Economics, University of North Carolina Press, Chapel Hill, Va., 1968	<input type="checkbox"/>	<input type="checkbox"/>
		Fong, G., A Multidimensional Framework for Risk Analysis, Financial Analysts Journal, July/August, 1997	<input type="checkbox"/>	<input type="checkbox"/>
		Larsen, D., et al., Multivariate Regression Tree for analysis of abundance data, 2002	<input type="checkbox"/>	<input type="checkbox"/>

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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>		<b>Application Number</b>	<b>10/781,898</b>
		<b>Filing Date</b>	<b>February 20, 2004</b>
		<b>First Named Inventor</b>	<b>Srinivas BOLLAPRAGADA et al.</b>
		<b>Art Unit</b>	<b>4172</b>
		<b>Examiner Name</b>	<b>Eric Tak Wai WONG</b>
<b>Sheet</b>	<b>11 of 11</b>	<b>Attorney Docket Number</b>	<b>52493.000362</b>

**OTHER DOCUMENTS - NON-PATENT LITERATURE DOCUMENTS**

*Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	TRANSLATION	
			YES	NO
		Reilly, F.K., et al., Investment Analysis and Portfolio Management, 6th Edition, Dryden, 2000	<input type="checkbox"/>	<input type="checkbox"/>
		Fabozzi, F.J., Fixed income analysis for the chartered financial analyst program, Fabozzi Associates, 2000	<input type="checkbox"/>	<input type="checkbox"/>
		Indraneel, D., et al., A Closer Look at Drawbacks of Minimizing Weighted Sums of Objectives for Pareto Set Generation in Multicriteria Optimization Problems Structural Optimization, 14(1), pp 63-69, 1997	<input type="checkbox"/>	<input type="checkbox"/>
		Schaffer, J.D., et al., Multi-objective Learning via Genetic Algorithms, Ninth International Joint Conference on Artificial Intelligence, pp 593-595, 1985	<input type="checkbox"/>	<input type="checkbox"/>
		Subbu, Raj, et al., Modeling and Convergence Analysis of Distributed Coevolutionary Algorithms, IEEE International Congress on Evolutionary Computation, pp 1276-1283, 2000	<input type="checkbox"/>	<input type="checkbox"/>
		Greene, F., A method for utilizing diploid/dominance in genetic search, First IEEE International Conference on Evolutionary Computation, v1, 439. IEEE Service Center, Piscataway, N.J., pp 171-176, 1994	<input type="checkbox"/>	<input type="checkbox"/>
		(In book "Foundations of Genetic Algorithms") D. Goldberg and K. Deb, A comparison of selection schemes used in genetic algorithms. In "Foundations of Genetic Algorithms," Rawlins, G. (Ed.), 69. M. Kaufmann Publishers, San Mateo, Calif., 69-93, 1991 (select pages from book, including paper Abstract)	<input type="checkbox"/>	<input type="checkbox"/>
		Coello, C., et al., MOSES: A multiobjective optimization tool for engineering design, Engineering Optimization, 31:337-368, 1999	<input type="checkbox"/>	<input type="checkbox"/>
		Horn, J., Multicriterion Decision Making, Handbook of Evolutionary Computation, (Back T, Fogel DB and Michalewicz Z, eds.), pp F1.9:1-F1.9:15, IOP Publication Ltd and Oxford University Press, 1997	<input type="checkbox"/>	<input type="checkbox"/>
		Subbu, Raj, et al., Modeling and Convergence Analysis of Distributed Coevolutionary Algorithms, IEEE Transactions on Systems, Man, and Cybernetics - Part B: Cybernetics, Vol. 34, No. 2, April 2004	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>

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